

6-29-04

3624 2161  
41

Attorney's Docket No. 38866/204614

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: May  
Appl. No.: 09/679,848 Group Art Unit: 2161  
Filed: 10/05/2000 Examiner: Kyle, Charles  
For: SYSTEMS AND METHODS FOR PERFORMING TWO-WAY  
ONE-TO-MANY AND MANY-TO-MANY AUCTIONS FOR FINANCIAL  
INSTRUMENTS

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JUL 6 2004

**GROUP 3600**

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT  
CITATION UNDER 37 C.F.R. § 1.97**

Sir:

Attached is a list of documents on form PTO-1449 together with a copy of each identified document. Also enclosed is a translation or a concise explanation of each non-English language document.

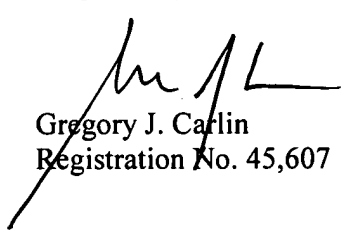
It is requested that the Examiner consider these documents and officially make them of record in accordance with the provisions of 37 C.F.R. § 1.97 and Section 609 of the MPEP. By submitting the listed documents, Applicant in no way makes any admission as to the prior art status of the listed documents, but is instead submitting the listed documents for the sake of full disclosure.

Also attached is a copy of a Supplemental Information Disclosure Statement Citation Under 37 C.F.R. § 1.97, 2 pages of PTO-1449 and a copy of our return postcard which was filed with the United States Patent & Trademark Office on May 7, 2002. At that time we attempted to provide the PTO with the enclosed references. However, upon our recent review of PAIR, it was noted that the above references filed on May 7, 2002 were not received by the PTO. The Supplemental Information Disclosure Statement filed on May 7, 2002 did not reflect the accurate serial number and filing date; however, there was other information provided, such as the attorney docket number, group art unit and first named inventor that were accurate. As such we do not believe a fee is due for the filing of the enclosed Information Disclosure Statement

because an attempt had been made by us to file the Information Disclosure Statement in a timely manner prior to receipt of the first Office Action. If, however, it is deemed necessary to charge us for the filing of the Information Disclosure Statement after receipt of the first Office Action, please charge our Deposit Account No. 16-0605.

The Commissioner is authorized to charge any other additional fee, or credit any refund, to our Deposit Account No. 16-0605.

Respectfully submitted,



Gregory J. Carlin  
Registration No. 45,607

**Customer No. 00826**

**ALSTON & BIRD LLP**

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101 South Tryon Street, Suite 4000

Charlotte, NC 28280-4000

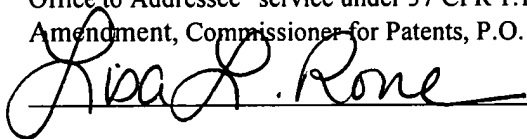
Tel Charlotte Office (704) 444-1000

Fax Charlotte Office (704) 444-1111

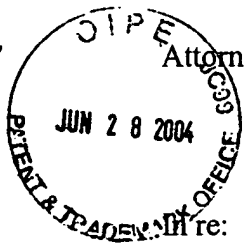
"Express Mail" mailing label number EV 442274770 US

Date of Deposit June 28, 2004

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Mail Stop  
Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450



CLT01/4654776v1



Attorney's Docket No. 38866/204614

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: May  
Appl. No.: 09/169,878 Group Art Unit: 2161  
Filed: October 12, 1998 Examiner: Benton, M.  
For: SYSTEMS AND METHODS FOR PERFORMING TWO-WAY AND MANY  
TO MANY AUCTIONS FOR FINANCIAL INSTRUMENTS

May 7, 2002

Commissioner for Patents  
Washington, DC 20231

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
CITATION UNDER 37 C.F.R. § 1.97**

Sir:

Attached is a list of documents on form PTO-1449 together with a copy of each identified document. It is requested that the Examiner consider these documents and officially make them of record in accordance with the provisions of 37 C.F.R. § 1.97 and Section 609 of the MPEP. By submitting the listed documents, Applicant in no way makes any admission as to the prior art status of the listed documents, but is instead submitting the listed documents for the sake of full disclosure.

Respectfully submitted,

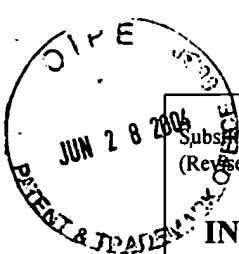
William R. Silverio  
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Fax Atlanta Office (404) 881-7777

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner For Patents, Washington, DC 20231, on May 7, 2002.

  
Laisha Richardson



Substitute for form 1449A/PTO  
(Revised 10/2001)

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 2

## Complete if Known

Application Number 09/679,848  
Filing Date October 5, 2000  
First Named Inventor May  
Group Art Unit 2161  
Examiner Name Kyle, Charles  
Attorney Docket Number 38866/204614

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## U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No.	Document Number Number - Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages of Relevant Figures Appear
	1	US-5,101,353	03-31-1992	Lupien et al.	
	2	US-5,270,922	12-14-1993	Higgins	
	3	US-5,594,639	01-14-1997	Atsumi	
	4	US-5,819,237	10-06-1998	Garman	
	5	US-5,845,266	12-01-1998	Lupien et al.	
	6	US-5,950,175	09-07-1999	Austin	
	7	US-6,014,643	01-11-2000	Minton	
	8	US-6,098,051	08-01-2000	Lupien et al.	
	9	US-6,134,600	10-17-2000	Liu	

## FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No.	Foreign Patent Document Country Code - Number Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
	10	EP 0 512 702 A2	11-11-1992	Reuters Limited		
	11	EP 0 647 866	04-12-1995	Alcatel Cavi S.p.A		
	12	CH 675 982	11-30-1990	Puchert, Gerhard, Yverdon		
	13	WO 98 43121	10-01-1998	Zarian, James R.; Robbins, John A.		

Examiner  
Signature

Date  
Considered

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Substitute for form 1449B/PTO (Revised 10/2001)		Complete if Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Use as many sheets as necessary)</i>		Application Number	09/169,878
		Filing Date	October 12, 1998
		First Named Inventor	May
		Group Art Unit	2161
		Examiner Name	Benton, M.
		Attorney Docket Number	38866/204614
Sheet	2	of	2

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**OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS**

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
	13	RABATIN, Adaptive Portfolio Trading Strategies for Forex Portfolios, Journal, April 1997, Pages 1-11, Issue 4, Rabatin Investment Technology	
	14	HIGGENS, Managing the Risk of Your Global Bond Portfolio, Journal, April 1996, Pages 13-16, Issue 0951-3604, Global Investor	
	15	AVANZATO, How to Use The Collateral Carousel, Journal, January 1998, Pages 29-31, Issue 0262-6969, International Financial Law Review	
	16	LUDWIG, Supervision by Risk, Journal, November 1995, Pages 52-60, Issue 1062-6271, Journal of Commercial Lending	
	17	Derivatives Tool Merger, Report, February 19, 1996, Page 4, Volume 28, Number 4, Issue 1042-7252, Software Industry Report	
	18	MAGUIRE, Details on Derivatives AIG Breaks Down Exposure, Journal, June 13, 1994, Page 1, Volume 4, Number 23, The Insurance Accountant	
	19	TDC Symbology Guide, Article, November 2001, Pages 1-14, Track Data Corporation, Brooklyn, United States	

Examiner Signature		Date Considered	
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	11	US-6,195,647	02-27-2001	Martyn et al.	

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	12	EP 0512702 A2	11-11-1992	Reuters Limited		

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Signature

Date  
Considered

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		Application Number	09/679,848
		Filing Date	October 5, 2000
		First Named Inventor	May
		Group Art Unit	2161
		Examiner Name	Kyle, Charles
		Attorney Docket Number	38866/204614

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Sheet 2 of 2

**OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
	14	RABATIN, Adaptive Portfolio Trading Strategies for Forex Portfolios, Journal, April 1997, Pages 1-11, Issue 4, Rabatin Investment Technology	
	15	HIGGENS, Managing the Risk of Your Global Bond Portfolio, Journal, April 1996, Pages 13-16, Issue 0951-3604, Global Investor	
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	17	LUDWIG, Supervision by Risk, Journal, November 1995, Pages 52-60, Issue 1062-6271, Journal of Commercial Lending	
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